

1 INTRODUCTION TO THE CASE MANAGEMENT SYSTEM AND MANUAL

OVERVIEW OF CHAPTER CONTENTS

PRIMARY TOPICS COVERED IN THIS CHAPTER (READ ACROSS)

- Principles of the Case Management System
- Responsibilities of Staff
- Additional Written Resources
- Case Management Flowcharts
- Forms in MyDOC and JJIS
- How to Complete Forms in MyDOC
- Vision & Mission; Guiding Principles & Goals
- Legal Basis of the Case Management System
- Using the Case Management Manual
- Staff Training on Case Management
- Revision of Manual

FORMS/DOCUMENTS DISCUSSED & INCLUDED IN THIS CHAPTER

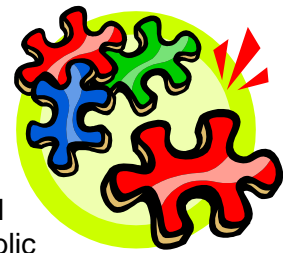
- Administrative Directive 09-98 Revision to Case Management Manual
- Instructions for Accessing and Completing DOC Forms in MyDOC
- Proposed Change to CMM Form (DOC-1989)

PRINCIPLES OF THE CASE MANAGEMENT SYSTEM

SOLVING THE PUZZLE

Pieces

The Division of Juvenile Corrections (DJC) faces the **challenge of putting together all the pieces of a multi-dimensional puzzle**. The “pieces” may include: youth, his or her family, peers, former/future teachers, former/future service providers, employers, neighbors and victim, as well as the county department of human services/social services, committing court, victim coordinator, district attorney, public defender, Sex Offender Registry Program (SORP) and the Division of Community Corrections (DCC).



The DJC **population is diverse** with youth coming from urban and rural areas as well as different ethnic and economic backgrounds. Some have a long history of involvement with the juvenile justice system with many past interventions having been less than successful.

Putting the Pieces Together

When all the **pieces are put together properly**, the **youth accepts responsibility** for his or her actions, possesses **skills needed to successfully re-integrate** into the community, and presents a **decreased risk to public safety**.

The Case Management Manual (CMM) describes the policies and procedures that implement the case management system for the Division of Juvenile Corrections (DJC) in the Department of Corrections (DOC) for the State of Wisconsin. The **system is the tool used to put the puzzle together**. It provides a common framework under which DJC and the other players involved in the lives of the youth can work to accomplish correctional goals and assist the youth to achieve personal objectives



Case management incorporates the **principles of widely accepted juvenile correctional practice**, reflects **current law** as well as the **DJC Mission and Vision Statements, principles, and goals**. The DJC case management system ensures that a youth's needs and strengths are carefully evaluated.

GOALS OF CASE MANAGEMENT

- To provide the degree of care and control of each youth required for the protection of the public.
- To identify the specific, objective short-term and long-term program needs for each youth and to outline a case plan that will assist in meeting the program needs.
- To provide a safe, humane and caring environment.
- To provide opportunities for youth to learn skills that will assist them in avoiding a return to criminal behavior.
- To assist youth in their reintegration to the community.

DJC VISION AND MISSION STATEMENTS, GUIDING PRINCIPLES AND GOALS

MISSION STATEMENT

The mission of the Division of Juvenile Corrections is to promote a juvenile justice system that balances protection of the community, youth accountability and competency building for responsible and productive community living.

VISION STATEMENT

The Division of Juvenile Corrections will reduce delinquent behavior and restore a sense of safety to victims in the community.

To achieve this vision we will build on our Mission Statement in the following ways:

- Share ownership for justice through partnerships with the juvenile justice system and the community.
- Learn from the community and promote opportunities for the community to learn from us.
- Hold youth accountable by requiring them to contribute to the recovery of victims and the community.
- Work with the community to assist youth in becoming productive members in the community.
- Create a sense of community and mutual responsibility in the workplace.

GUIDING PRINCIPLES

The guiding principles of the Division of Juvenile Corrections are:

- Promoting prevention and early intervention efforts at the community level.
- Providing individualized and culturally responsive programming.
- Implementing the concepts of restorative justice in DJC programs.
- Affirming that staff are key to successful program operation and positive treatment outcomes.
- Treating a diverse workforce as valued partners by fostering staff development and effectiveness.
- Striving to assure that staff and youth are safe and free from victimization.
- Promoting wellness for staff and youth.
- Conducting program evaluation to identify and support high quality and cost effective programs.
- Providing and managing resources to promote successful community reintegration.
- Working in partnership with families, counties and other community agencies to build positive youth competencies.
- Developing and implementing individualized case plans based on the uniqueness of each youth.

GOALS

The goals of the Division of Juvenile Corrections include:

- Promote community safety through effective, humane custody and supervision of youth.
- Promote positive lifestyle changes and law-abiding behaviors through youth participation in treatment programs, education and job skill development.
- Develop meaningful evaluation and accountability processes for effective management of resources.
- Assist in the recovery of victims of crime.
- Build, maintain and empower a diverse, competent and professional workforce.
- Research, develop and utilize technological innovations to ensure effective and efficient decision making by DJC.
- Build partnerships with counties, law enforcement, schools, public and private community based agencies, courts and elected officials.
- Provide leadership in DOC and the juvenile justice community.

RESPONSIBILITIES OF DJC STAFF

The administrative rules dictate that staff make reasonable efforts to ensure that a youth under DJC supervision is treated in the following ways [section DOC 393.04 and s. DOC 396.09, WI. Adm. Code]:

- Free from discrimination based on race, national origin, color, creed, sex, age, sexual orientation, marital status, political affiliation, handicap, ethnicity, religion or ancestry
- Protected from abuse and neglect
- Placed in parental home when consistent with correctional programming and the protection of the public
- Provided with accessible and usable services, and reasonable accommodations/services required to benefit from correctional programming
- Involved in planning of her or his ongoing correctional program
- Has access to department, county department and community programs/services consistent with protection of the public and the youth's needs
- Has educational, vocational, drug/alcohol abuse, health, mental health and other programming needs met
- Has access to the courts and legal counsel
- Provided with the opportunity to visit with family and communicate orally or by mail with an attorney or persons approved by staff within department guidelines.
- Has opportunity to participate in authorized recreational and religious activities

Note: Chapter DOC 371, Youth Assessment & Case Management, and ch. DOC 379, Living Conditions in Type 1 Facilities, WI Adm. Code, do not include a specific listing of staff responsibilities. However, various sections of those chapters include the substance of the lists included in chapters DOC 393 & 396.

LEGAL BASIS OF THE CASE MANAGEMENT SYSTEM

STATUTORY BASIS OF CASE MANAGEMENT

Chapter 938 of the Wisconsin Statutes provides the legal basis for the DJC case management system. The Wisconsin Legislature outlines the objectives of the juvenile justice system in the Juvenile Justice Code in s. 938.01 (2), Stats.:



“...to promote a juvenile justice system capable of dealing with the problem of juvenile delinquency, a system which will protect the community, impose accountability for violations of law and equip juvenile offenders with competencies to live responsibly and productively.”

WISCONSIN STATUTES

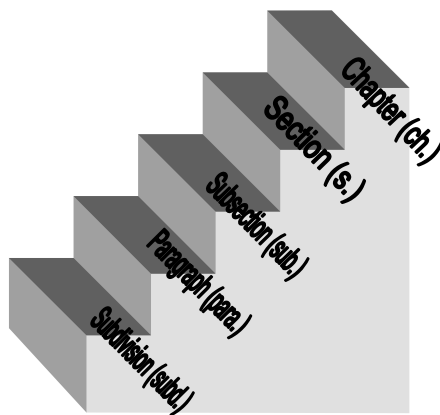
The Wisconsin Legislature, consisting of the Senate and the Assembly, considers bills submitted by state senators and representatives. When a bill passes both the Senate and the

Assembly and is signed by the Governor, the bill becomes a law contained in the Wisconsin Statutes. Statutes are published every two years beginning with the odd year (e.g., 2003-2004).

JCIs and field offices should have at least one set of the most current five volume soft-cover statutes. Older versions of statutes may be incomplete or inaccurate because the Legislature rescinds, revises and enacts statutes whenever it is in session. Therefore, it is best practice not to consult outdated statutes. The 5th volume contains an index that assists readers to locate topics in which they are interested. The most current (although unofficial) version of the statutes is available through the Legislature's web site at <http://www.legis.state.wi.us/rsb/stats.html>

READING STATUTES

Statutes are **divided into chapters with each covering a specific topic**. Examples include Juvenile Justice Code, ch. 938, Stats.; Crimes Against Children, ch. 948, Stats.; and Children's Code, ch. 48, Stats. A chapter contains many levels of detail. A verbal or written reference to a particular provision in a statute is called a **citation**. It may be helpful to think of the parts of citation as steps going down with each step being a subpart of the one preceding it. See the table below that explains the parts of the citation to s. 943.20 (3)(d)3., Stats.



Example of Citation to a Statute

Chapter = ch. 943

Section = s. 20

Subsection = sub. (3)

Paragraph = par. (d)

Subdivision = subd. 3.

The statute citation now reads: **s. 943.20 (3)(d)3.**

ADMINISTRATIVE RULES IN WISCONSIN ADMINISTRATIVE CODE

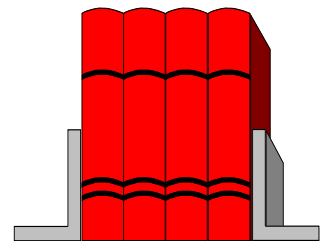
Relationship of Statutes to Administrative Code Rules

A statute often does not include the details necessary to guide its implementation. Administrative rules **provide the details regarding implementation of statutes**. Administrative Rules have the force of law.

Much of the content of the CMM stems from administrative rules. For example, s. 938.01 (2)(c), Stats., states that one of the purposes of Ch. 938, Stats., is to provide an individualized assessment of each juvenile. Chapter 371 DOC. WI Adm. Code, contains the specific rules (procedures) relating to assessment and case planning for a youth under DJC supervision.

Rules have the force of law

DJC must follow procedures set out in administrative rules. By promulgating rules, the legislature has determined that the subject area is one wherein specific requirements are necessary. **When rules dictate procedures, another set of procedures cannot be used.** This is especially important when the rules describe due process procedures. For example, DJC cannot develop its own set of disciplinary procedures; ch. DOC 373 must be followed. The same is true with respect to aftercare revocation procedures in ch. DOC 393.



Citations to administrative rules are very similar to statutes. The name of the department that authorized the rule precedes the references to the specific rule. A citation to s. DOC 371.04 (1)(e), WI Adm. Code, means that the rule is located in the Wisconsin Administrative Code in the volume containing Department of Corrections rules. It is in chapter 371, section .04, subsection (1), paragraph (e).

DJC Publications Explaining Administrative Rules

- All youth in a JCI receive the “**Youth Institution Handbook about Administrative Rules**” that provides a simple explanation of the rules.
- JCI staff receive the “**Guide to the Administrative Rules**” that offers a more detailed explanation of the applicable rules chapters. This document is available to youth upon request.

CASE LAW



Federal and State Court Systems

Some court decisions clarify the meaning of a statute while others address a subject matter not covered by existing statutes. Various levels of courts exist in the state and federal systems. .

County Circuit Courts. There is at least one Circuit Court branch in nearly all Wisconsin counties, although some small counties share a Circuit Court. Large counties have many branches that specialize such as Family Court, Children's Court, Probate, etc. Circuit Courts are the trial level court.

Court of Appeals. Wisconsin has four districts with the Courts of Appeals located in Milwaukee, Waukesha, Wausau and Madison. A party to a Circuit Court case may appeal the trial court's ruling to a Court of Appeals. A published ruling sets a statewide precedent. However, most Court of Appeals decisions are not ordered to be published as precedents.

Wisconsin Supreme Court. Most cases heard by the Supreme Court are cases that have been appealed from a Court of Appeals. Decisions of the Supreme Court have statewide applicability.

Federal Court System. The federal court system includes **94 District Courts**, **12 U.S. Courts of Appeals** (Circuit Courts) and the **U.S. Supreme Court**. Federal District Courts are similar to Wisconsin Circuit Courts in that they are the trial level courts. The Courts of Appeals hear appeals from District Court rulings. Wisconsin is part of the 7th Circuit. The final level of appeal is to the U.S. Supreme Court.

Examples of Significant Court Decisions

- Placement in the Serious Juvenile Offender Program (**SJOP**)

In 2002, the Wisconsin Supreme Court, In the Matter of Terry T., clarified a portion of s. 938.34 (4h), Stats., authorizing placement of a juvenile in the Serious Juvenile Offender Program. The statute requires that a juvenile placed in SJOP must be 14 years old if adjudicated for certain crimes and 10 years old for extremely serious offenses. Some county circuit courts placed a juvenile in SJOP subsequent to the original Dispositional Order that had not found the juvenile appropriate for placement in SJOP. The Wisconsin Supreme Court stated that a county court must determine whether the juvenile should be placed in SJOP in the original order and cannot make that decision at a later time. For the purpose of this ruling, a stayed order is considered to be an original order.

- Involvement of Youth in a **Religious Program**

The federal circuit court in the case, Kerr v. Farrey, 95 F.3d 472 (7th Cir. 1996) found that DOC must offer to an offender a secular (non-religious, non faith-based) program whenever a religious program is being offered. The court found Alcoholics Anonymous (AA) to be religious due to the references to a “higher power.” A program comes under the definition of “religious” whether the religious component is overt or indirect. Additional federal court decisions have been made that support the concept that an individual’s right to choose whether to participate in religious activity is protected by the U.S. Constitution.

DJC must grant adjudicated juveniles the right to choose a non-religious program when a religious program is being offered. DJC cannot take an adverse action or impose any penalty when a youth under DJC supervision does not agree to participate in a program with a religious component.

ADDITIONAL WRITTEN RESOURCES

DOC EXECUTIVE DIRECTIVES

The Secretary of Department of Corrections issues Executive Directives. They relate to issues affecting multiple divisions within DOC such as Division of Adult Institutions, Division of Juvenile Corrections and Division of Community Corrections (adults). Executive Directives are accessible via MyDOC/About DOC/Policies & Procedures. Contact Central Office if you have any questions.

DJC ADMINISTRATIVE DIRECTIVES

DJC Administrator issues Administrative Directives regarding non-case management matters applicable division-wide. They are available in MyDOC/About DOC/Policies & Procedures.

SECURITY INTERNAL MANAGEMENT PROCEDURES (SIMPS)

DJC Administrator issues SIMP’s relating to security matters in a JCI. They are confidential and only available to designated staff.

INTERNAL MANAGEMENT PROCEDURES (IMPS) INTERNAL MANAGEMENT PROCEDURES

DJC Administrator issues IMP’s regarding non-case management matters relating only to JCI’s. Staff may access IMP’s via MyDOC/About DOC/Policies & Procedures.

DJC FIELD NOTICES

DJC Administrator issues Field Notices regarding non-case management matters relating only to community corrections. Staff may access Field Notices via MyDOC/About DOC/Policies & Procedures/DJC/DJC Field Notices.

OTHER POLICIES AND PROCEDURES

- JCI superintendent issues institution policies and procedures covering a wide range of JCI related matters.
- Bureau of Health Services in Central Office writes policies and procedures relating to health matters for DAI, DCC and DJC. They may be accessed via MyDOC/About DOC/Policies & Procedures.

- Health Services Units at the JCI's issue health related policies to clarify local procedures to be followed to implement BHS policies.

STANDARDIZED CIRCUIT COURT FORMS

Wisconsin law requires that circuit courts use standardized forms for many routine case actions. The following are examples of those forms that can be accessed at the Wisconsin Supreme Court's website: <http://wicourts.gov/forms1/circuit>.

- JD-1721 Petition under Chapter 938
- JD 1745 Dispositional Order-Delinquent
- JD-1788 Order for Extension of Dispositional Order (out-of-home)
- JD-1754 Notice of Change of Placement
- JD-1791 Permanency Plan Hearing Order
- JD-1766 Request to Change Placement, Revise/Extend Dispositional Order, Review Permanency Plan

DJC CASE MANAGEMENT MANUAL

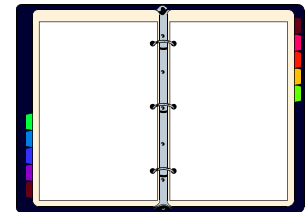
PURPOSE

The CMM establishes a statewide division **standard of practice for case management for youth** under DJC supervision. Its uniform policies, procedures and forms result in cases being handled in a consistent manner as youth progress during their DJC supervision. The CMM addresses routine as well as unusual cases. However, not all possible situations and events can be anticipated. The CMM serves as a **reference and training tool** for DJC employees. When a staff member cannot find an answer in the CMM, she or he should consult a supervisor or other experienced staff.

ORGANIZATION

Order of Chapters

The CMM is **generally organized chronologically** from a youth's admission to a type 1 secured juvenile correctional institution (JCI) to a youth's termination from DJC supervision.



Tables of Contents

The CMM includes a table of contents that lists the chapter titles in the order in which they appear in the CMM and an **extensive table of contents** that lists the chapter, major parts and section headings found in every chapter (see formatting section below).

FORMATTING

- The CMM contains a vast amount of information some of which is complex. Each chapter has been formatted in a way that, hopefully, assists readers to efficiently locate the information he or she is seeking.
- Each chapter begins with a **list of primary topics and forms discussed** within the chapter.
- A **range of font styles** are used to indicate chapter titles, major parts, sections, sub-sections and bullets as described below.
- To highlight information of major importance, **bold font** is used within text sections.

LEVEL 1: CHAPTER TITLES

LEVEL 2: PRIMARY PARTS OF A CHAPTER

LEVEL 3: MAJOR SECTIONS OF A PART OF A CHAPTER

Level 4: subsections of a major section

- first level
 - ✓ second level
 - * third level

DISTRIBUTION OF THE MANUAL

The paper manual no longer exists. Reference the on-line manual in myDOC.

SUGGESTIONS TO CMM HOLDERS

As employees use the CMM, they may **find it useful to make notes about specific job duties and experiences**. However, **employees may not alter the actual procedures or forms**.

Chapter 29 contains the **sample case** of Jamie Smith. It includes a large number of documents completed for a youth from the time of admission to a JCI through the termination of DJC supervision. Be sure to **review the completed sample forms** when completing a form with which you have limited experience.

QUESTIONS ABOUT CASE MANAGEMENT

Read The Manual (RTM)

The detailed table of contents should provide guidance in locating the chapter and page where a topic is addressed. The glossary includes essential CMM terminology. Incredible amounts of time and energy have been devoted to and will continue to be allocated to writing and updating of every chapter of the CMM. DJC staff from throughout the division have been and will continue to be consulted in order to make the CMM an up to date and accurate resource.

Legal Questions

If you determine that the CMM does not contain the information you are seeking, consult your supervisor. If your supervisor believes that your question involves legal issues, follow the **Administrative Directive 04-01** [MyDOC/About DOC/Policies & Procedures]. that governs contacts with the Office of Legal Counsel.

STAFF TRAINING ON CASE MANAGEMENT

NEW EMPLOYEES

Regardless of position description, all new employees attend a training session during employee **orientation** that describes the basics of the case management system.

PRACTITIONERS

Knowledge of the contents of the CMM and JJIS skills are essential for successful performance of job duties.



- Complete an extensive review of all relevant CMM chapters.
- Perform **hands-on tasks** related to specific job duties.
- **Shadow** an experienced staff person.
- Participate in **JJIS training**.



SUPERVISORS

- **Require staff** under their supervision to review the CMM with emphasis on the chapters most relevant for her or his job duties.
 - **Hold practitioners responsible** for knowing the CMM procedures and updating their CMM's as part of the **Performance Planning & Development process**.
- Participate in training regarding **responsibilities as supervisors** and effective supervisory techniques.

CASE MANAGEMENT SYSTEM FLOWCHARTS

INTRODUCTION

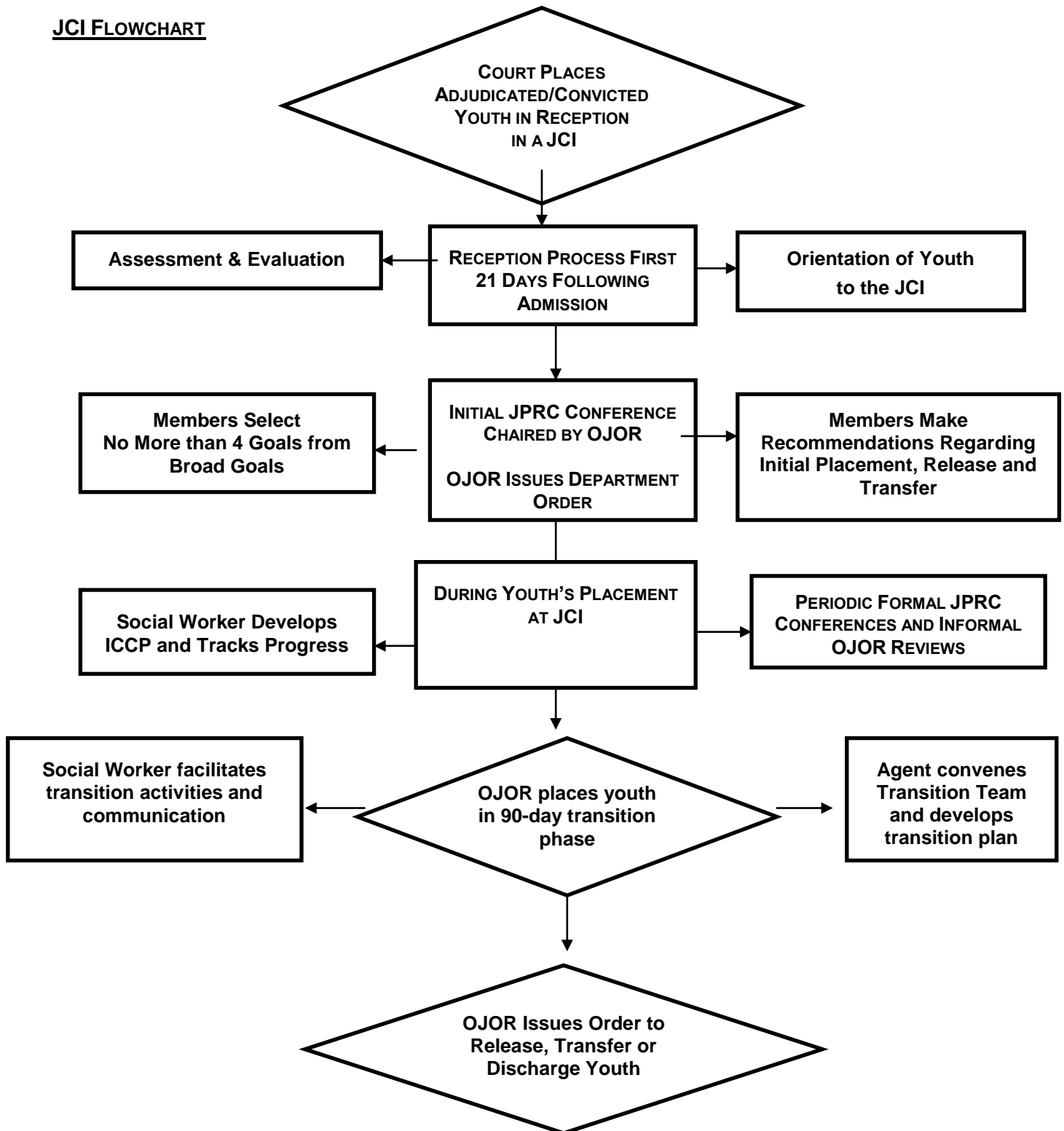
For illustrative purposes, the case management system is shown in the following **2 flowcharts**. The flow charts do not contain a lot of detail, but show the **primary phases of a youth's correctional supervision**. They provide an overview of the steps involved from the time a youth enters a JCI through the termination of a youth's correctional supervision.

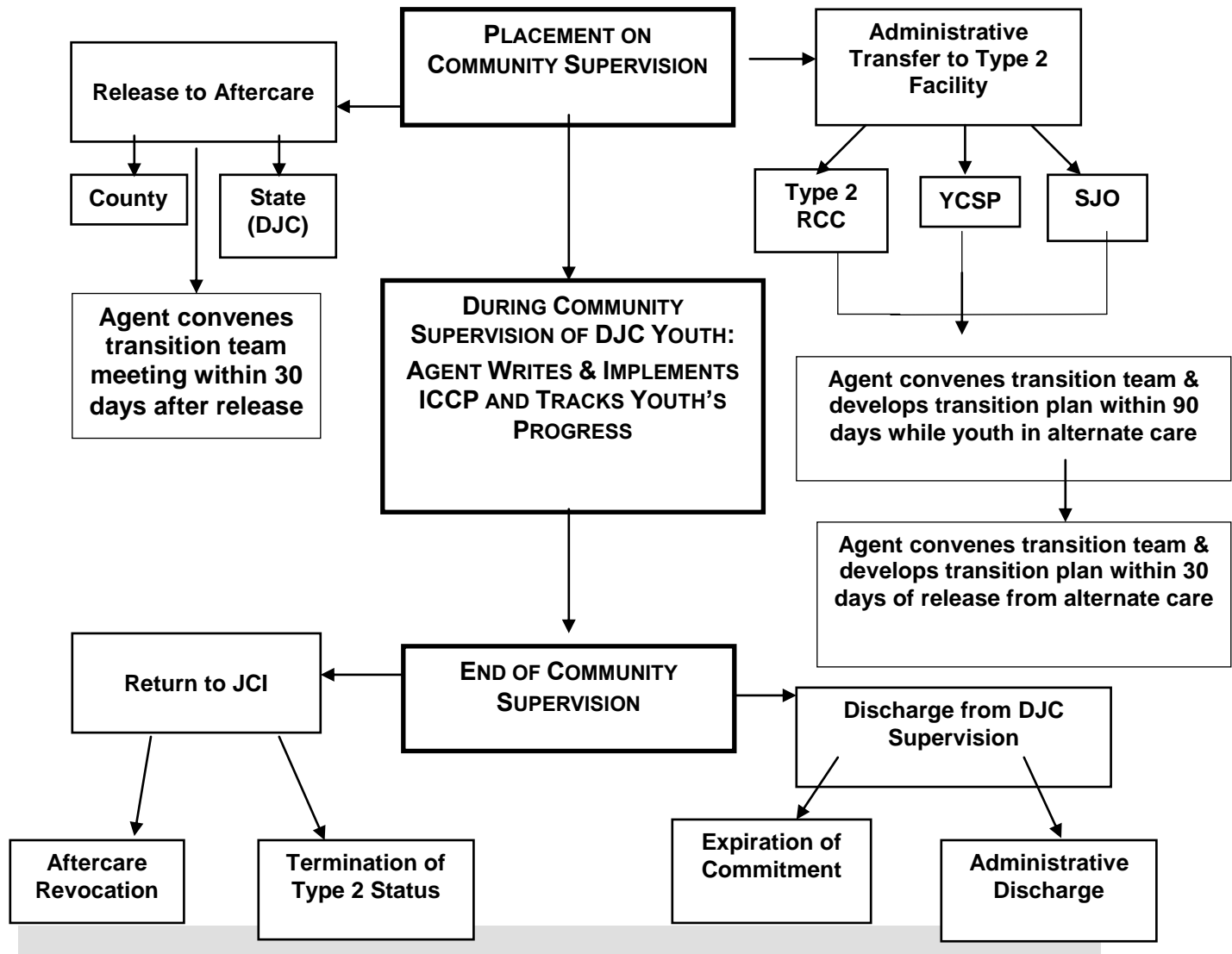
JCI FLOWCHART

This flowchart covers the time period from a youth's admission to a JCI pursuant to a court order, through the A&E process, initial and subsequent JPRC conferences and the OJOR decision to release to aftercare, administratively transfer to a type 2 secured correctional facility, or discharge the youth.

COMMUNITY SUPERVISION FLOWCHART

This flowchart covers the time period beginning when the youth leaves a JCI to correctional supervision in the community. Either DJC or a county department of human/social services may supervise a youth. This chart focuses on youth under DJC supervision. (A stand-alone version of the flowchart is in "Groups" in the "DJC CMM" folder titled "JCI Flowchart.")

JCI FLOWCHART

COMMUNITY SUPERVISION FLOWCHART

JJIS SCREENS AND MYDOC FORMS

USE OF PROPER FORMS OR JJIS SCREENS

Since 1999, the case management functions of the Juvenile Justice Information System have been gradually rolled out. DJC staff have participated in various training sessions to learn how to enter data into JJIS screens. A large percent of CMM forms are completed in JJIS screens thereby replacing paper forms. Some forms are not yet integrated into JJIS. Those forms, with a few exceptions, are available in MyDOC via the Forms Search lines. The COMPAS software also produces several assessments and alternative screenings.

To ensure consistency, accuracy and efficiency, the proper Outlook forms, COMPAS assessments or JJIS screens must be used at all times. No one should alter any form with a DOC number, substitute one form for another, or develop a new form without following proper DOC procedures. **Proposed forms and any revisions of forms must be approved by DJC Central Office.**

HEADER OF DOC FORMS

Personally identifying data collected on a youth must be entered on a legal DOC official form.

DEPARTMENT OF CORRECTIONS DIVISION OF JUVENILE CORRECTIONS DOC-XXXX	WISCONSIN CITE TO STATUTE, ADMIN. CODE OR CMM REFERENCE
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If a form does not have a DOC number, it is not an official DOC form. A few non-numbered forms are institution or community corrections office specific and can be used by staff with supervisory approval.

LISTS OF FORMS

The **lists of forms** at the beginning of the CMM (numerical and alphabetical) include the title, DOC number, current version date (non-JJIS forms), CMM chapter(s) in which the form is discussed, and location of the form, e.g., JJIS, MyDOC, COMPAS. The lists also indicate whether the form should be completed by printing the form from MyDOC or by entering the data in COMPAS or JJIS.

HOW TO COMPLETE FORMS IN MYDOC

Please see the instructions at the end of this Chapter.

REVISION OF MANUAL

SUGGESTIONS FOR REVISION

Administrative Directive (09-98) governs the procedures for revising the CMM. It is available in MyDOC and is included at the end of this chapter. The Administrative Directive calls for the use of the Proposed Change(s) for Case Management Manual form (DOC-1989), which is also included at the end of this chapter. **Central Office welcomes suggestions from all DJC staff involved in case management.** JCI and community supervision staff who actually implement case management procedures are in the best position to offer suggestions regarding revisions. If staff members with ideas to improve the CMM do not inform CO of inaccurate, unclear or incomplete sections, CO does not know that revisions would be helpful to CMM users.






ISSUANCE OF REVISIONS

As revisions become necessary, CO revises chapters or portions of chapters to reflect current policies and procedures. Whenever CO makes revisions, CO notifies CMM coordinators at

major work sites of the changes made. These changes are published on myDOC under About DOC/Manuals/DJC Manuals/DJC Case Management Manual. All DJC staff persons are responsible for using the most recent CMM version as published on myDOC.



INSTRUCTIONS FOR ACCESSING AND COMPLETING DOC FORMS IN MYDOC

ACCESSING FORMS IN MYDOC







-  Open Internet Explorer. MyDOC home page will appear.
-  Click on "Find a Form" link at top of page.
-  Enter the form number or key words.
-  Scroll down to the number of the form and click on it to open it in Microsoft Word.
-  You may browse all forms by clicking the "Forms Browse Index" link.

OPENING FORMS











There are two options once the form has been accessed through MyDOC:

-  Complete the form and print without saving
-  Complete the form, print and save.

Complete Without Saving

-  Open form from MyDOC using steps above.
-  Complete the form using your tab key to go from one cell to another to enter text.
-  Click on "File".
-  Click on "Print".
-  Click on "File" again.
-  Click on "Close" or "Exit".

Complete and Save

-  Open form from MyDOC using steps above.
-  Click on "File".
-  Click on "Save As".
-  Choose the location in which to save the file and give it a file name.
-  Click the "Save" button.
-  Complete the form using your tab key to go from one cell to another to enter text.
-  Click on "File".
-  Click on "Print".
-  Click on "File".
-  Click on "Close" or "Exit".

PROPOSED CHANGE(S) FOR CASE MANAGEMENT MANUAL

NAME OF STAFF REQUESTING CHANGE

PHONE NUMBER OF STAFF

NAME OF POLICY/PROCEDURE OR FORM RECOMMENDED FOR CHANGE

DETAILED DESCRIPTION OF CHANGE (CITE PAGE NUMBER AND/OR ATTACH RECOMMENDED TEXT FOR CHANGE)

☐ UNABLE TO WRITE DETAILED TEXT FOR CHANGE

RATIONALE FOR CHANGE (WHY IS THE CHANGE NEEDED?)

